



\$ 2645

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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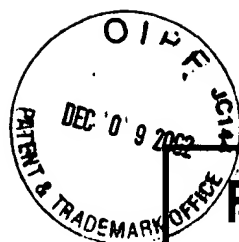
<h1 style="margin: 0;">TRANSMITTAL FORM</h1> <p style="margin: 5px 0;">(to be used for all correspondence after initial filing)</p>	Application Number	09/663,002	<div style="font-size: 2em; margin: 0;">RECEIVED</div> <div style="font-size: 1.5em; margin: 0;">DEC 12 2002</div> <div style="font-size: 1.2em; margin: 0;">Technology Center 2000</div>	
	Filing Date	Sep 15, 2000		
	First Named Inventor	Su, Huan-Yu		
	Group Art Unit	2645		
	Examiner Name	Unknown		
Total Number of Pages in This Submission		10	Attorney Docket Number	01CON294P-CIP

ENCLOSURES (check all that apply)		
<div style="margin-bottom: 5px;"><input checked="" type="checkbox"/> Fee Transmittal Form</div> <div style="margin-bottom: 5px;"><input checked="" type="checkbox"/> Fee Attached</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Amendment / Reply</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> After Final</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Affidavits/declaration(s)</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Extension of Time Request</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Express Abandonment Request</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Information Disclosure Statement</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Certified Copy of Priority Document(s)</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Response to Missing Parts/ Incomplete Application</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53</div>	<div style="margin-bottom: 5px;"><input type="checkbox"/> Assignment Papers (for an Application)</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Drawing(s)</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Licensing-related Papers</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Petition</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Petition to Convert to a Provisional Application</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Terminal Disclaimer</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Request for Refund</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> CD, Number of CD(s)</div>	<div style="margin-bottom: 5px;"><input type="checkbox"/> After Allowance Communication to Group</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Proprietary Information</div> <div style="margin-bottom: 5px;"><input type="checkbox"/> Status Letter</div> <div style="margin-bottom: 5px;"><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<div style="margin-top: 5px; font-size: 0.9em;"><div style="margin-bottom: 5px;">1. Preliminary Amendent</div><div style="margin-bottom: 5px;">2. Check for \$672.00</div><div style="margin-bottom: 5px;">3. Postcard</div></div></div>
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Farshad Farjani, Esq. Reg. No. 41014 Farjani & Farjani LLP
Signature	
Date	December 2, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: December 2, 2002			
Type or printed name	Lori Ulave		
Signature		Date	December 2, 2002

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FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☐ Applicant Claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 672.00

Complete if Known

Application Number	09/663,002
Filing Date	9/15/2000
First Named Inventor	Su, et al.
Examiner Name	Unknown
Art Unit	2645
Attorney Docket No.	01CON294P-Technology Center 2000

RECEIVED

DEC 12 2002

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit Account Number
Deposit Account Name

50-0731

Farjami & Farjami LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	740	2001	370	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	510	2003	255	Plant filing fee	
1004	740	2004	370	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20**=	<input type="text" value="28"/>	X	<input type="text" value="18"/>	= <input type="text" value="504.00"/>
Independent Claims	<input type="text"/>	-3**=	<input type="text" value="2"/>	X	<input type="text" value="84"/>	= <input type="text" value="168.00"/>
Multiple Dependent	<input type="text"/>					= <input type="text"/>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 672.00

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	400	2252	200	Extension for reply within second month	
1253	920	2253	460	Extension for reply within third month	
1254	1,440	2254	720	Extension for reply within fourth month	
1255	1,960	2255	980	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,280	2453	640	Petition to revive - unintentional	
1501	1,280	2501	640	Utility issue fee (or reissue)	
1502	460	2502	230	Design issue fee	
1503	620	2503	310	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	740	2809	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	740	2810	370	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	740	2801	370	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print/Type)	Farshad Farjami, Esq.	Registration No. (Attorney/Agent)	41014	Telephone	(949) 784-4600
Signature				Date	12/2/02

Complete (if applicable)

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Attorney Docket No.: 01CON294P-CIP
09/663,002

#9/a
PRE
B.D.
1-17-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Su, et al.	Group Art Unit: 2645
Application Serial No.: 09/663,002	Examiner: Unknown
Filed: September 15, 2000	RECEIVED DEC 12 2002 Technology Center 2800
Title: System for Speech Encoding Having an Adaptive Encoding Arrangement	

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir/Madam:

Please enter and consider this Preliminary Amendment prior to the examination of the above-referenced application.

In the Claims:

Please add new claims 21-48 as follows:

12/11/2002 AOSMAN1 00000030 09663002

01 FC:1201	168.00 OP
02 FC:1202	504.00 OP